STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

YORK AVENUE, N.W. . WASHINGTON, D.C. 20005-3934

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May 21, 2001

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LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIE REGISTERED PATENT AGENT ***SENIOR COUNSEL

WRITER'S DIRECT NUMBER: (202) 371-2678

Commissioner for Patents Washington, D.C. 20231

Re:

U.S. Utility Patent Application

Appl. No. 09/785,474; Filed: February 20, 2001

Genetic Alterations Related to Familial Alzheimer's Disease

Inventors:

TANZI et al.

Our Ref:

0609.4180002/JAG/JUK

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

- 1. Information Disclosure Statement;
- 2. Form PTO-1449 (51 sheets citing 179 documents);
- 3. 179 documents cited in Form PTO-1449; and
- 4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

REST AVAILABLE COPY

Commissioner for Patents May 21, 2001 Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Judith U. Kim

Attorney for Applicants

Gudith U. Kim

Registration No. 40,679

JAG/JUK/law

Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

TANZI et al.

Appl. No. 09/785,474

Filed: February 20, 2001

For: Genetic Alterations Related to

Familial Alzheimer's Disease

Confirmation No. 6844

Art Unit: 1647

Examiner: To be assigned

Atty. Docket: 0609.4180002/JAG/JUK

Information Disclosure Statement

Commissioner for Patents Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. A copy of each of these documents is provided.

Document AT41 is in a foreign language. Document AT41 has an English language summary on pages 299-301.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

BEST AVAILABLE COPY

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application. No statement or fee is required.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Judith U. Kim

Attorney for Applicants Registration No. 40,679

Gratith U. Em

Date: May 21, 2001

1100 New York Avenue, N.W. Suite 600 Washington, D.C. 20005-3934 (202) 371-2600

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Page 1 of 51

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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

MAY 2 1 2001

ATTY. DOCKET NO. 0609.4180002/JAG/JUK APPLICATION NO. 09/785,474

APPLICANT

TANZI et al.

FILING DATE February 20, 2001 GROUP 1647

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EXAMINER INITIAL		DOC	UMENT BER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	4,4	11,993	10/25/1983	Gillis, S.	435	68	04/29/1981
	AB1	4,5	43,439	09/24/1985	Frackleton, Jr., A.R. et al.	935	92	12/13/1982
	AC1	Re	32,011	10/22/1985	Zimmerman, T.S. et al.	260 ·	112 B	12/14/1981
	AD1	4,5	79,821	04/01/1986	Palmiter, R.D. et al.	435	172.3	11/23/1981
	AE1	4,6	83,195	07/28/1987	Mullis, K.B. et al.	435	6	02/07/1986
	AF1	4,6	83,202	07/28/1987	Mullis, K.B.	435	91	10/25/1985
	AG1	4,7	36,866	04/12/1988	Leder, P. et al.	800	1	06/22/1984
	AH1	4,7	86,600	11/22/1988	Kramer, F.R. et al.	435	235	05/25/1984
	AI1	4,8	00,159	01/24/1989	Mullis, K.B. et al.	435	172.3	12/17/1986
	AJ1	4,8	76,187	10/24/1989	Duck, P. et al.	435	6	12/05/1985
	AK1	5,0	11,769	04/30/1991	Duck, P. et al.	435	6	04/29/1988
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	AL1	EP A1	0 125 023	11/14/1984	Europe			Yes No
	AM1	EP A2	0 171 496	02/19/1986	Europe			Yes No
	AN1	WO	86/01533	03/13/1986	WIPO			Yes No
	A01	EP A2	0 173 494	05/03/1986	Europe			Yes No
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Page 2 of 51

APPLICATION NO. ATTY. DOCKET NO. 09/785,474 0609.4180002/JAG/JUK FORM PTO-1449 APPLICANT TANZI et al. INFORMATION DISCLOSURE STATEMENT GROUP FILING DATE 1647 February 20, 2001 U.S. PATENT DOCUMENTS EXAMINER FILING DATE SUB-DOCUMENT DATE NAME CLASS TNTTTAL CLASS NUMBER 240.2 03/22/1988 Leder, P. et al. 435 AA2 5,087,571 02/11/1992 800. 2 02/17/1989 12/29/1992 Leder, P. et al. AB2 5,175,383 800 2 12/05/1988 Krimpenfort, P.J.A. et AC2 5,175,384 12/29/1992 Byrne, G.W. et al. 800 2 08/24/1988 06/22/1993 5,221,778 AD2 2 800 06/06/1991 Sorge, J.A. 09/13/1994 AE2 5,347,075 800 2 06/17/1991 02/07/1995 Cordell, B. AF2 5,387,742 AG AΗ ΑI АJ ΑK FOREIGN PATENT DOCUMENTS EXAMINER TRANSLATION CLASS SUB-DOCUMENT DATE COUNTRY INITIAL NUMBER CLASS WO 87/02671 05/07/1987 Yes WIPO No AL2 07/26/1990 WIPO Yes WO 90/07936 AM2 No Yes EP 0 415 731 03/06/1991 Europe No AN2 A2 Yes WO 91/02805 03/07/1991 WIPO No A02 Yes 09/29/1994 WIPO WO 94/21683 No AP2 OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Ammerer, G., "Expression of Genes in Yeast Using the ADCI Promoter," Meth. AR <u>2</u> Enzymol. 101:192-201, Academic Press, Inc. (1983) Atkinson, A.E. et al., "Baculoviruses as Vectors for Foreign Gene Expression in Insect Cells," *Pestic. Sci. 28*:215-224, Society of Chemical Industry (1990) AS 2 Bauer, C.E. et al., "A genetic enrichment for mutations constructed by oligodeoxynucleotide-directed mutagenesis," Gene 37:73-81, Elsevier Science ΑТ 2 Publishers (1985) DATE CONSIDERED EXAMINER **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw

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communication to Applicant.

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Page 8 of 51

APPLICATION NO. ATTY. DOCKET NO. 09/785,474 0609.4180002/JAG/JUK FORM PTO-1449 APPLICANT TANZI et al. INFORMATION DISCLOSURE STATEMENT GROUP FILING DATE 1647 February 20, 2001 U.S. PATENT DOCUMENTS EXAMINER FILING DATE SUB-DOCUMENT DATE NAME CLASS INITIAL CLASS NUMBER AΑ AΒ AC ΑD ΑE ΑF AG AΗ ΑI АJ AK FOREIGN PATENT DOCUMENTS EXAMINER CLASS SUB-TRANSLATION COUNTRY DOCUMENT DATE INITIAL CLASS NUMBER Yes No AL Yes No Yes No AN Yes No AΩ Yes No AΡ OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Broach, J.R. et al., "Transformation in Yeast: Development of a Hybrid Cloning Vector and Isolation of the CAN1 Gene, " Gene 8:121-133, Elsevier/North Holland AR 8 Biomedical Press (1979) Brousseau, T. et al., "Confirmation of the $\epsilon 4$ allele of the apolipoprotein E gene as a risk factor for late-onset Alzheimer's disease," Neurol. 44:342-344, American AS 8 Academy of Neurology (February 1994) Casadaban, M.J. et al., "In Vitro Gene Fusions That Join an Enzymatically Active β -Galactosidase Segment to Amino-Terminal Fragments of Exogenous Proteins: Escherichia coli Plasmid Vectors for the Detection and Cloning of Translational 8 AΤ Initiation Signals, " J. Bacteriol. 143:971-980, American Society for Microbiology (1980)DATE CONSIDERED EXAMINER EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Page 9 of 51

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	AS	13		alternative sp		an growth hormone DNA seq cing," <i>Nucl. Acids Res. 9</i>					
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APPLICATION NO. ATTY. DOCKET NO. 09/785,474 0609.4180002/JAG/JUK FORM PTO-1449 APPLICANT TANZI et al. INFORMATION DISCLOSURE STATEMENT GROUP FILING DATE February 20, 2001 1647 U.S. PATENT DOCUMENTS EXAMINER FILING DATE DATE NAME CLASS SUB-DOCUMENT INITIAL CLASS NUMBER AΑ AB AC ΑD ΑE AF ΑG ΑН ΑI АJ ΑK FOREIGN PATENT DOCUMENTS EXAMINER CLASS SUB-TRANSLATION COUNTRY INITIAL DOCUMENT DATE CLASS NUMBER Yes No ALYes No Yes No ΑN Yes No AΩ Yes No ΑP OTHER (Including Author, Title, Date, Pertinent Pages, etc.) Horwitz, M.S.Z. et al., "Selection of new biological activities from random nucleotide sequences: evolutionary and practical considerations," Genome 31:112-AR 20 117, Genetics Society of Canada (1989) Hurby, V.J. et al., "Application of Synthetic Peptides: Antisense Peptides," in Synthetic Peptides: A User's Guide, Grant, G.A., ed., W.H. Freeman, New York, NY, AS <u>20</u> pp. 289-307 (1992) Iida, K. et al., "Rapid and sensitive method for detection of Salmonella strains using a combination of polymerase chain reaction and reverse dot-blot AT 20 hybridization," FEMS Microbiol. Letts. 114:167-172, Elsevier Science Publishers B.V. (1993) DATE CONSIDERED EXAMINER **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next

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	AS	<u>31</u>	Nishimura, Y. et al., "Recombinant Human-Mouse Chimeric Monoclonal Antibody Specific for Common Acute Lymphocytic Leukemia Antigen," <i>Cancer Res. 47</i> :999-1005, American Association for Cancer Research (1987)									
	AT	31	After Art	Ohno, T. et al., "Gene Therapy for Vascular Smooth Muscle Cell Proliferation After Arterial Injury," Science 265:781-784, American Association for the Advancement of Science (August 1994)								
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	AS	<u>32</u>	Ørskov, C. and J.H. Nielsen, "Truncated glucagon-like peptide-1 (proglucagon 78-107 amide), an intestinal insulin-releasing peptide, has specific receptors on rat insulinoma cells (RIN 5AH)," FEBS Letts. 229:175-178, Elsevier Science Publishers B.V. (1988)								
	АТ	<u>32</u>	Palmiter, R.D. et al., "Metallothionein-Human GH Fusion Genes Stimulate Growth of Mice," Science 222:809-814, American Association for the Advancement of Science (1983)								
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	AT	33	Pericak-V Families,	ance, M.A. et " Exper. Neur	al 01.	., "Genetic Linkage St 102:271-279, Academic	tudies C Press	in Alzi	heimer's (1988)	Disease
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	AS	<u>35</u>	E. coli pi	romoter hybrid	ls	ennett, "Construction and and promoter mutants that Biomedical Press (1982)	anal alt	ysis c er the	of in vivo	activity of 10 spacing,"	
	AT	<u>35</u>	Russell, I	P.R., "Evoluti in yeast," <i>Na</i>	on tu	nary divergence of the mRN are 301:167-169, Macmillan	A tr Pub	anscri lisher	ption ini	tiation 83)	
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	Schellenberg, G.D. et al., "Linkage Analysis of Familial Alzheimer Disease Chromosome 21 Markers," Am. J. Hum. Genet. 48:563-583, The University of C. Press (1991)										
	AT	<u>36</u>	Schellenbe Alzheimer Press (199	Disease," Am.	l., "APP ₇₁₇ , APP ₆₉₃ , a J. Hum. Genet. 49:5	nd PRIP (Gene Muta The Univ	ations Are ersity of	Rare in Chicago		
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	AS	<u>37</u>	Apolipopro	otein CII Loc	al., "Genetic A us and Familia ical Associatio	L Alzheimer's	nd Linkage Disease,	e Analysis ' Ann. Neu	of the arol. 31:223-
	AT	37	Schellenber Disease (1993)	erg, G.D. et o	al., "Chromosor Hum. Genet. 5	ne 14 and Late 3:619-628, The	e-Onset Fa	amilial Al ity of Chi	zheimer cago Press
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	AS Smith, A.D. et al., "Protective effect of apoE &2 in Alzheimer's disease," Lancet 344:473-474, The Lancet Ltd (August 1994)											
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	AS	<u>39</u>	replication	on of hybrid D	h-frequency transfo NA molecules," <i>Proc</i> Sciences of the US	c. Natl. Aca	yeast: ad. Sci	Autonomo . <i>USA</i> 76:	us 1035-1039,
	AT	<u>39</u>	Studier, Genes, Ma	F.W. et al., " eth. Enzymol.	Use of T7 RNA Polym 185:60-89, Academic	merase to Di Press, Ind	irect E	expression	of Cloned
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	AS	<u>41</u>	amyloid i	n Alzheimer di	ular cloning of c sease," <i>Proc. Nat</i> ences of the USA	:1. Acad. So	ng an unr ci. USA 9	ecognized 0:11282-1	component of 1286, The
	AT	41	van Bogae d'Alzheim	rt, L. et al., er," Mschr. Ps	"Sur les formes sych. Neurol. 102:	familiales 249-301, S.	précoces . Karger	de la ma (1940)	ladie
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ATTY. DOCKET NO. APPLICATION NO. 0609.4180002/JAG/JUK 09/785,474 FORM PTO-1449 APPLICANT TANZI et al. INFORMATION DISCLOSURE STATEMENT GROUP FILING DATE February 20, 2001 1647 U.S. PATENT DOCUMENTS EXAMINER FILING DATE DOCUMENT DATE NAME CLASS SUB-INITIAL CLASS NUMBER AΑ AB AC ΑD ΑE ΑF AG ΑН ΑI АJ AK FOREIGN PATENT DOCUMENTS EXAMINER CLASS SUB-TRANSLATION INITIAL DOCUMENT DATE COUNTRY NUMBER CLASS Yes No ALYes No ΑM Yes No AN Yes No AΩ Yes No ΑP OTHER (Including Author, Title, Date, Pertinent Pages, etc.) van Duijn, C.M. et al., "A Population-based Study of Familial Alzheimer Disease: Linkage to Chromosomes 14, 19, and 21," Am. J. Hum. Genet. 55:714-727, The ΔR 42 University of Chicago Press (October 1994) Verhoeyen, M. et al., "Reshaping Human Antibodies: Grafting an Antilysozyme Activity," Science 239:1534-1536, American Association for the Advancement of AS 42 Science (1988) Vieira, J. and J. Messing, "The pUC plasmids, an M13mp7-derived system for insertion mutagenesis and sequencing with synthetic universal primers," Gene AΤ 42 19:259-268, Elsevier Biomedical Press (1982) DATE CONSIDERED EXAMINER **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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